CAVEAT:

The *Library of Congress Rule Interpretations* (LCRIs) **Chapter 22: Personal names** is made available in .pdf format for use in NACO Training workshops and is current as of November 2003.

NACO participants are automatically subscribed to one (1) full set of the LCRIs and all subsequent updates. This printed set is (or will be) made available through LC's Cataloging Distribution Service.

Note that NACO participants must use the most current version of all required documentation– if this .pdf version is used after the NACO workshop in the creation or updating of name authority records it is the responsibility of the user to ascertain that it is kept up-to-date.

For a listing of current LCRIs consult the list on the CPSO home page at: http://lcweb.loc.gov/catdir/cpso/currlcri.pdf   02/18/04

22.1. GENERAL RULE.

"AACR 2 Compatible" Headings

1) *General*. All headings newly coded to AACR2 after August 1982 will be done in accord with AACR2 and existing LC policy and will be designated "AACR2" (with one exception). A heading already coded "AACR2 compatible" will continue to be used in its existing form in post-August 1982 cataloging. A heading for a uniform title coded after August 1982 will be coded "AACR2 compatible" if it is entered under a name heading that has already been coded "AACR2 compatible."

Before September 1982, headings were coded "AACR2 compatible" if they had been established before 1981 and fell into one or more of the categories listed below. (Exceptions to this policy are uniform titles established after 1980 that were entered under a name heading that has already been coded "AACR2 compatible.")

2) *Categories coded "AACR2 compatible."* The categories of headings that were coded "AACR 2 compatible" were as follows:

a) *Hyphens*. The existing heading lacked a hyphen between forenames or compound surnames that would be present in the AACR2 form.

> *compatible heading*: 100 1# $a Dautheville, Anne France
> (*AACR2 form*: Dautheville, Anne-France)

b) *Pseud.* The existing heading contained the term "pseud."

> *compatible heading*: 100 1# $a Cecil, Henry, $c pseud.
> (*AACR2 form*: Cecil, Henry)

c) *Extraneous forename/initial*. The existing heading contained a forename or forename initial that would not be present in the AACR2 form ("forename" includes any name element that is transcribed in the forename position, e.g., a maiden name, a patronymic).

> *compatible heading*: 100 1# $a Williams, Gordon Willis
> (*AACR2 form*: Williams, Gordon)

d) *Forename/initial lacking*. The existing heading lacked a forename or forename initial that would be present in the AACR2 form.

> *compatible heading*: 100 1# $a Capet, Marcel
> (*AACR2 form*: Capet, Marcel F.)

e) *Forename instead of initial*. The existing heading contained a forename that would be represented by an initial in the AACR2 form.

> *compatible heading*: `100 1# $a Abrahamson, Max William`
> (*AACR2 form*: Abrahamson, Max W. (Max William))

      f) *Initial instead of forename*. The existing heading contained a forename initial that would be represented by a forename in the AACR 2 form.

> *compatible heading*: `100 1# $a Dromgoole, P. H.`
> (*AACR2 form*: Dromgoole, Philip H. (Philip Henry))

      g) *Romanization*. The existing heading was established in its nonsystematically romanized form according to AACR1 rules for nonroman names rather than in the systematically romanized form.

> *compatible heading*: `100 1# $a Maitra, Arun`
> (*AACR2 form*: Maitra, Aruna)

      h) *Unused title*. The existing heading contained an unused British title of honor ("Sir," "Dame," "Lord," or "Lady").

> *compatible heading*: `100 1# $a Bryant, Arthur, $c Sir`
> (*AACR2 form*: Bryant, Arthur)

      i) *"Bp."/"Abp."* The existing heading contained the abbreviation "Bp." or "Abp." rather than "Bishop" or "Archbishop."

> *compatible heading*: `100 0# $a Ruricius $b I, $c Bp. of`
> `                                Limoges`
> (*AACR2 form*: Ruricius I, Bishop of Limoges)

      j) *"(ca.)."* The existing heading contained "(ca.)" after the date.

> *compatible heading*: `100 1# $a Pann, Anton, $d 1797 (ca.)-`
> `                                1854`
> (*AACR2 form*: Pann, Anton, ca. 1797-1854)

      k) *"fl."* The existing heading contained a twentieth century date in the form "fl. [date]."

> *compatible heading*: `100 1# $a Nelson, David, $d fl. 1967-`
> (*AACR2 form*: Nelson, David)

   Note: Such a heading is changed if a birth date becomes available.

      l) *English term of address, etc*. The existing heading contained a term of address, etc., in English rather than in the vernacular form.

> *compatible heading*: `100 0# $a Louis Antoine, $c Father`
> (*AACR2 form*: Louis Antoine, père)

m) *Cataloger-supplied place of residence, etc.* The existing heading contained an indication of a place of residence or field of interest that was supplied by the cataloger to resolve a conflict.

> *compatible heading*: `100 1# $a Albrecht, Friedrich, $c of`
> `Leipzig`
> (*AACR2 form*: Albrecht, Friedrich)

> *compatible form*: `100 1# $a Miller, Jonathan, $c writer on`
> `rapid transit`
> (*AACR2 form*: Miller, Jonathan)

Note: Such a heading is changed if a birth date becomes available.

3) Exceptions to the "AACR2 compatible" categories listed above were as follows:

a) The existing heading contained the term "pseud." and the person was famous.

b) The existing heading varied from the AACR2 form in fullness and the person was famous.

c) The existing heading contained a first forename instead of a first forename initial, or the heading contained a first forename initial instead of a first forename, and the heading had been used on a bibliographic record containing a U.S. place in the publication, distribution, etc., area.

22.1B. GENERAL RULE.

Form of Name

1) *Surname alone—single author*. For a person known primarily as an author, if the chief source of information shows this person as the single author and shows his/her surname without other names, search briefly to see if there are other publications that are his/her works. If the search is successful, use the form found most frequently. Otherwise, use the surname without other names as the heading. Change the heading if subsequently received items show other names with the surname in the chief source of information. *N.B.* See LCRI 22.5C4 for a different treatment of authors writing in Portuguese.

2) *Surname alone—multiple authors*. For persons known primarily as authors, if the chief source of information shows more than one person as author and shows each surname without other names, add the forenames provided they can be found in the item being cataloged. Otherwise, follow the preceding instructions for single authors represented by surnames alone.

3) *Phrase or other appellation*. For persons (either authors or others) known by only a phrase or other appellation that does not contain a real name (cf. 22.11), use the form found in English-language reference sources if the phrase, etc., was not used by the person but was assigned to him/her by scholars later.

4) *Abbreviated name*. If the name selected for the heading for a person known primarily as an author contains a name represented by an abbreviation rather than by an initial, use the abbreviated form in the heading. (If the full form of the name for the particular person is available at the time the heading is established, add it within parentheses, cf. 22.18.)

> *name*: Wm. Brownridge
> *heading*: 100 1# $a Brownridge, Wm. $q (William)
>   400 1# $a Brownridge, William
>
> *name*: Manuel Fdez.-Rivera García
> *heading*: 100 1# $a Fdez.-Rivera García, Manuel $q
>   (Fernández-Rivera García)
>   400 1# $a Fernández-Rivera García, Manuel
>
> *name*: Sa. Freeman
> *heading*: 100 1# $a Freeman, Sa. $q (Samuel)
>   400 1# $a Freeman, Samuel
>
> *name*: Th. Ziehen
> *heading*: 100 1# $a Ziehen, Th. $q (Theodor)
>   400 1# $a Ziehen, Theodor
>
> *name*: Th. de Waal
> *heading*: 100 1# $a Waal, Th. de

> *name*: Mohd. Taib Osman
> *heading*: `100 0# $a Mohd. Taib Osman`

Form of Name and Sources

    1) *Authors*

        a) The rule does not limit the consideration of chief source of information to publications issued during the person's lifetime; this is deliberate: consider also posthumous publications.

        b) For authors before 1801, when chief sources of information show one form of name and another form is used in modern reference sources in the person's language, prefer the latter.

        c) For purposes of the distinction between persons known as authors and others, treat music composers as authors and determine the name from the form found in the chief sources of information in publications of the printed music. If no form in these chief sources of information is in the composer's language, determine the name from reference sources of the composer's country of residence or activity. If the name is not listed there, use the form found in the chief sources of information.

    2) *Others*

        a) Treat persons involved in the graphic aspects of cartographic materials (cartographers, engravers, etc.) as working in a nonverbal context and so as non-authors.

        b) For artists, etc., and for people who appear primarily as subjects rather than as authors, note that the "reference sources" mentioned in footnote 1 must be issued in the person's language or in the language of his/her country of residence or activity.

        c) When using reference sources for some persons who are found both in the usual reference tools (encyclopedias, etc.) and in other sources such as works about the person, two different forms may be seen, each consistently appearing in one of the two types of sources. In that case, use judgment and pick the form that is most likely to be the one sought by library users.

        d) If the only reference source is the item being cataloged, generally use the fullest form found anywhere in the item whenever the name varies in fullness. If the item gives both a nickname and a real name, generally use the real name. When a less full form or a nickname is clearly the one by which the person is best known, however, use this less full form or the nickname in the heading.

Punctuation/Spacing Conventions in Personal Name Heading Access Points in Name Authority and Bibliographic Records

These guidelines appear also in LCRI 1.0C.

1) *Initials/letters*

    a) *Name portion of heading*

Periods. If the name of a person consists of or contains initials, input a period after an initial if it is certain that the letter is an initial. In case of doubt, do not input a period.

```
100 1# $a Eliot, T. S.
100 0# $a H. D.
```

If the name consists of separate letters that are presumed not to be initials, omit or include periods according to the predominant usage of the person.

```
100 0# $a X Y Z
```

Spaces. If the name contains two or more forenames represented by initials, consists entirely of initials, or consists entirely of separate letters that are not initials, input a single space between the initials/letters in all cases.

```
100 1# $a Eliot, T. S.
100 0# $a H. D.
100 0# $a X Y Z
```

    b) *"Additions" to name headings*

Periods. With initials, include periods unless the author's predominant usage makes it clear that the author omits them.

Spaces. Do not leave spaces between single initials/letters.

```
100 1# $a Brown, G. B., $c F.I.P.S.
```

Treat an abbreviation consisting of more than a single letter as if it were a distinct word, separating it with a space from preceding and succeeding words or initials/letters.

```
100 1# $a Brown, G. B., $c Ph. D.
```

2) *Names with portions abbreviated or missing*. If a part of a name is abbreviated (two or more letters present as opposed to a single letter used as an initial) or if a forename is missing from

a name entered under surname, do not leave open space after the abbreviation or missing forename. Instead, insert, as appropriate,

a period;

```
100 1# $a Tissot.
        (Add period at end in bibliographic record, but not in authority
        record)
100 1# $a Corpeleijn, W. F. Th.
100 1# $a Junager, Sv.-Aa.
        (The hyphen reflects the usage of the language of the name)
```

a period and one space;

```
100 1# $a Enschedé, Ch. J.
```

a period and a comma.

```
100 1# $a Jones, Th., $d 1910-

100 1# $a Calles Ll., Alfonso
100 1# $a Dahlan Aman, Mohd., $c Haji
        (For these names, add  period at end in bibliographic record, but
        not in authority record)
```

3) *Surnames alone including prefixes/particles.* If a name heading consisting entirely of one or more surnames also contains a separately written prefix/particle, see instructions in LCRI 22.5D.

4) *Bibliographic description.* Note that the spacing and punctuation conventions applied to personal names used in access points differ from those used in the descriptive portion of a bibliographic record; for the latter, see LCRI 1.0C.

22.1C. GENERAL RULE. [New]

Amendments 2001 to AACR2 revised rule 22.1C to provide for omitting British terms of honor (*Sir*, *Dame*, *Lord*, *Lady*) from headings for persons entered under surname. Rule 22.12B was also deleted from AACR2 and several examples were revised.

British terms of honor are still retained in statements of responsibility (rule 1.1F7) and can be added to headings to resolve conflicts (rule 22.19B1).

Previously, a British term of honor was included in the heading when the term commonly appeared with the name in works by the person or in reference sources. The term was added after the forename(s) when the person was the wife of a baronet or knight. The term was added before the forename(s) when the person was a baronet or knight; a dame of the Order of the British Empire or the Royal Victorian Order; a younger son of a duke, duchess, marquess, or marchioness; or a daughter of a duke, duchess, marquess, marchioness, earl, or countess.

LC practice: Effective December 2001, do not add a British term of honor to a newly-established heading for a person entered under surname (unless rule 22.15A is applicable). (*Note:* For the period January 1, 1981-November 2001, LC added the British term of honor after the forename(s) for all persons when the term appeared in works by the person or in reference sources. For the period January 1, 1981-August 31, 1982, LC coded as "AACR2 compatible" headings that called for the British term of honor to be added before the forename(s). Beginning September 1, 1982, the headings were coded "AACR2." Existing headings should not be changed to reflect current policy unless the heading needs to be changed for another reason.)

22.2. CHOICE AMONG DIFFERENT NAMES.

Different Real Names Used Concurrently by Contemporaries

Apply this interpretation only in retrospect, after information received from publications, etc., has begun to provide the necessary evidence and this evidence is clear.

If a contemporary author who uses different real names concurrently (as opposed to abandoning one real name in favor of another) and this usage at the same time of multiple real names can be ascribed to the fact that the works written under one name are different from works written under other name(s), then treat the case in the same way as pseudonyms and follow LCRI 22.2B for the details of using multiple headings.

> *heading 1*: 100 1# $aKnight, Kathryn Lasky
>   (*Works for adults are written under the name Kathryn Lasky Knight*)
> *heading 2*: 100 1# $a Lasky, Kathryn
>   (*Works for children are written at the same time under the name Kathryn Lasky*)

Composers and Performers

In applying this rule, do not consider a music composer or performer to be a contemporary author.

Printers' Widows

1) If the personal name of the widow of a printer is used in the item being cataloged or in reference sources (cf. LCRI 22.1B) but is also referred to as the widow of a printer, establish the printer under her personal name. Make a *see* reference from the personal name of the printer qualified by "widow of."

> *source*: Apud viduam Thielmanni Kerver
> *colophon*: Yolanda Bonhomme
> *t.p.*: device of Thielman Kerver
> *heading*: 100 1# $a Bonhomme, Yolanda
>   400 0# $a Widow of T. Kerver
>   400 0# $a Vidua Thielmanni Kerver
>   400 1# $a Kerver, Thielman, $c widow of

2) If the widow of a printer is identified only as the widow of a printer, establish the heading as a phrase. Make a *see* reference from the personal name of the printer qualified by "widow of."

source: Sumptibus Viduae Gothofredi Liebernickelii
heading:
```
100 0# $a Vidua Gothofredi Liebernickelii
400 0# $a Witwe Gottfried Liebernickels
400 0# $a Gottfried Liebernickels Witwe
400 1# $a Liebernickel, Gottfried, $c widow of
```

source: Printed and sold by R. Fleming, and the widow of James Voy
heading:
```
100 0# $a Widow of James Voy
400 1# $a Voy, James, $c widow of
```

3) If the personal name of the widow of a printer is used in the item being cataloged but she is not also identified as the widow of a printer, establish her under her personal name. Do not make a *see* reference from the name of the printer.

source: London, Printed : and Sold by M. Cooper
heading:
```
100 1# $a Cooper, Mary, $d d. 1761
400 1# $a Cooper, M. $q (Mary), $d d. 1761
```

4) If the word "widow" is used as a term of address, treat it as such.

source: Göttingen : Printed for the Widow Vandenhoeck
heading:
```
100 1# $a Vandenhoeck, $c widow
400 0# $a Widow Vandenhoeck
```

22.2A. Predominant name .

Nicknames

If a person's name shows a nickname in quotation marks or within parentheses as part of other forename(s), omit the nickname in formulating the heading.

>*name*: Martin (Bud) Schulman
>*heading*: **Schulman, Martin**

Married Women

If a married woman's name shows her own forename(s) in parentheses as part of her married name, omit the parenthetical elements in formulating the heading.

>*name*: Mrs. John A. (Edna I.) Spies
>*heading*: **Spies, John A., Mrs.**

22.2B. CHOICE AMONG DIFFERENT NAMES. Pseudonyms.

22.2B3 says that if a person is a contemporary and uses more than one name, including at least one pseudonym, establish as many headings as names. For non-contemporaries, 22.2B2 says the same, provided the cataloger can identify what is called "separate bibliographic identities" (see below); otherwise, non-contemporaries have one heading/person. The following paragraphs provide guidelines for defining "contemporary" and "separate bibliographic identities," and for formulating the necessary cross reference structure.

Multiple Headings—Contemporaries

1) Consider all living authors and any author who has died since December 31, 1900, to be contemporary. In case of doubt, do not consider the person a contemporary.

2) Note that the following instructions for multiple headings override 22.2C whenever there is both a name change involving the real name and also the use of one or more pseudonyms: multiple headings also for earlier and later real names.

3) If the works appear under more than one name (as known from publications or reference sources) and these names include at least one pseudonym, create multiple headings, one for each name, including the possibly unused real name. *Note*: Establish separate headings only for pseudonyms used (or likely to be used) on separately published works. Pseudonyms used in other contexts (e.g., newspaper articles) are not separately established.[1]

4) If different names appear in different editions of the same work, choose for all editions of the same work the name that predominates in the editions of the same work. If, however, a change in the person's bibliographic identification from an older name to a newer name that seems to be stable has taken place, choose that name for all editions. In case of doubt on any point, choose the name used latest for all editions.

Multiple Headings—Non-contemporaries

If the works appear under more than one name, including at least one pseudonym, consider whether the different works show separate bibliographic identities for the author because the works can be divided into clearly differentiated types (e.g., one name for boys' sport stories and another name for works on nuclear physics). If a clear differentiation based on this criterion is possible, create a different heading for each name. In case of doubt, do not consider that there are such separate bibliographic identities for the author and instead create a single heading for him/her (see the guideline at the end).

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[1]*For Library of Congress descriptive catalogers only*: On the name authority record for the person, list in the 670 field all the known pseudonyms, but establish separate headings only for the pseudonyms used (or likely to be used) on separately published works. List the unestablished pseudonyms in a 667 field following the phrase "Pseudonyms not found on published works:" Do not make references from the unestablished pseudonyms.

Multiple Headings—"Basic" Headings

If according to these guidelines, only two headings are created for the author, do not attempt to choose a "basic" heading (see the next section on references for the directive to connect the two headings with simple "see also" references). When more than two headings are created, however, identify one of the headings as the "basic" heading for purposes of simplifying the cross reference structure when necessary and for supplying the subject cataloger with a heading to be used as the subject of biographical or critical works. Choose the "basic" heading according to the following instructions:

1) If multiple headings for the author have already been created, look for evidence of a single heading used in pre-AACR2 cataloging if that heading is readily available on existing name authority record(s). Use the AACR2 form for the pre-AACR2 heading as the "basic" heading.

2) If multiple headings for the author are now being created for the first time, use the existing single heading as the "basic" heading.

3) If multiple headings for the author already exist because there was no earlier indication that the multiple headings represented one person, use the predominant form as the "basic" heading.

Multiple Headings—References

1) If only two headings are created for an author, connect the names with simple *see also* references (cf. 26.2C1).

2) If more than two headings are created for an author, choose a "basic" heading according to the above guidelines. On the authority record for this heading, trace cataloger-generated *see also* references from all other headings used, justifying the references in 670 citations, according to normal practice. Provide a 663 cataloger-generated reference field listing all the other names established with the following text:

> For works of this author entered under other names, search
>   also under [list names]

On each of the other authority records created for the author, trace a cataloger-generated *see also* reference from the "basic" heading, justifying that reference in a 670 citation, according to normal practice. (Other names may be mentioned in the 670 if it is convenient to do so.) Provide a 663 cataloger-generated reference field with the following text:

> Works by this author are entered under the name used in the
>   item. For a listing of other names used by this author,
>   search also under [basic heading]

When the author uses another new name, create a new name authority record for that name and also add it to the reference structure and 663 listing on the authority record for the "basic" heading. (Do not add information about it to the authority records for other names used by the author.)

Example

<div align="center"><i>Basic heading</i></div>

```
100 1b ‡a Harris, John, ‡d 1916-                         *
670 bb ‡a His Corporal Cotton's little war, 1979: ‡b t.p. *
        (John Harris)                                     *
670 bb ‡a LC data base, 1-18-84 ‡b (hdg.: Harris, John,  *
        1916- ; usage: Mark Hebden; Max Hennessy; John   *
        Harris)                                           *
670 bb ‡a Contemp. au., v. 93-96 ‡b (Harris, John, 1916- *
        ; pseuds.: Mark Hebden, Max Hennessy)             *
500 1b ‡w nnnc ‡a Hennessy, Max, ‡d 1916-                 *
500 1b ‡w nnnc ‡a Hebden, Mark, ‡d 1916-                  *
663 bb ‡a For works of this author entered under other   *
        names, search also under‡b Hebden, Mark, 1916-   *
        , ‡b Hennessy, Max, 1916-                         *
```

<div align="center"><i>Other headings</i></div>

```
100 1b ‡a Hebden, Mark, ‡d 1916-                          *
670 bb ‡a His Pel under pressure, 1983, c1980: ‡b t.p.    *
        (Mark Hebden)                                     *
670 bb ‡a LC data base, 1-18-84 ‡b (hdg.: Harris, John,  *
        1916-  ; usage: Mark Hebden; Max Hennessy; John  *
        Harris)                                           *
670 bb ‡a Contemp. au., v. 93-96 ‡b (Harris, John, 1916- *
        ; pseuds.: Mark Hebden, Max Hennessy)             *
500 1b ‡w nnnc ‡a Harris, John, ‡d 1916-                  *
663 bb ‡a Works by this author are entered under the name *
        used in the item.  For a listing of other names  *
        used by this author, search also under ‡b        *
        Harris, John, 1916-                               *
```

```
100 1b ‡a Hennessy, Max, ‡d 1916-                         *
670 bb ‡a His Back to battle, 1980: ‡b t.p. (Max          *
        Hennessy)                                         *
670 bb ‡a LC data base, 1-18-84 ‡b (hdg.: Harris, John,  *
        1916- ; usage: Mark Hebden; Max Hennessy; John   *
```

```
*                                     Harris)
*                     670 ␢␢ ‡a Contemp. au., v. 93-96 ‡b (Harris, John, 1916-
*                            ; pseuds.: Mark Hebden, Max Hennessy)
*                     500 1␢ ‡w nnnc ‡a Harris, John, ‡d 1916-
*                     663 ␢␢ ‡a Works by this author are entered under the name
*                            used in the item.  For a listing of other names
*                            used by this author, search also under ‡b
*                            Harris, John, 1916-
```

Single Heading

If the preceding guidelines do not result in multiple headings for an author, because

1) the author uses only a single name, which is a pseudonym;

or 2) the author is not a contemporary *and* does not have separate bibliographic identities;

choose one name as the basis for a single heading. If a choice is necessary, choose the name under which the person has come to be identified in later editions of his or her works, in critical works, or in other references sources (in that order of preference). Make simple *see* references from other names.

Pre-1988 Policy

For contemporary authors whose works appear under several pseudonyms (or under the real name and one or more pseudonyms), rule 22.2C2 in the 1978 edition of AACR2 required choosing for the heading the name used predominantly. References were made from the other names. Whenever a pseudonym (or real name) covered by a "see"-reference on a name authority record created according to the 1978 AACR2 is needed in post-1987 cataloging, change existing records according to the instructions above for "Multiple Headings—Contemporaries."

22.3A. FULLNESS.

Headings Being Coded AACR 2

If the forms of an author's name vary in fullness from one work to another in the same language and the AACR2 form for the heading has not yet been determined, apply the following:

1) If the form found on the item being cataloged agrees with the form used for the heading on existing records in the catalog, accept this form as AACR2. (The "catalog" referred to here is the file against which the cataloging and searching is being done.)

2) If the form found on the item being cataloged does not agree with the form already in use as the heading, choose as the AACR2 form the form found in 80% of the author's works as the most commonly found form (counting forms appearing on bibliographic records in which the heading is used in both main and added entries but considering only usage found in the bibliographic description (primarily statements of responsibility) *not* headings appearing as main or added entries). (The form found in the chief source of a person's thesis is taken into account when choosing the form to be used in the heading.)

When calculating the 80%, do it quickly and use common sense. This means

1) count the forms if there are no more than approximately 15 records *or*

2) if there are more than approximately 15, browse through the file, looking for an obvious case of predominance. If nothing is obvious, sample the file (every 3rd, 5th, 10th, etc., record, depending on the length of the file).

When there is no commonly found form (defined above), choose the fullest form as the AACR 2 form. When determining the fullest form for a person who uses both forename initials and forenames, make no distinction between initials and forenames, e.g., "B.E.F. Pagen" is fuller than "Bernard Edward Pagen."

Note: Equating the predominant form or the commonly found form with the form found in 80% of the person's works applies only to 22.3A; no such formula has been assigned to "predominant form" or "commonly found form" in the other rules.

Headings Already Coded "AACR2" or "AACR2 Compatible"

If an established heading is already coded "AACR2" (including those labeled preliminary[1]) 008 byte 33 = d) and subsequently received items show forms in the chief source that vary in fullness, generally do not change the established heading.

If an established heading is already coded "AACR2 compatible" because it varies in fullness from the AACR2 form, generally do not reconsider the heading.

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[1]*For Library of Congress descriptive catalogers only*: cf. DCM Z1 008/33.

Note: Occasionally the need arises to change a heading that has already been coded to reflect another form that varies solely in fullness. Two such exceptions to the basic policy of retaining the established heading are 1) the author has notified the Library of Congress that another form is preferred or 2) the National Library of Medicine has more works of a medical author in its collections that show a different form. Other exceptions should be carefully considered before making the change.

Variant Forms Within One Item

If the name of an author appears in two or more forms in one work, apply the following:

1) If the name appears in two or more sources, once in the chief source and one or more times in other sources, choose the form appearing in the chief source.

> *title page*: T.B. Smith
> *verso of t.p.*: T. Basil Smith III
> *heading*: 100 1# $a Smith, T. B. $q (T. Basil)

2) If the name does not appear in the chief source but does appear once in another prominent source (cf. 0.8) and one or more times in other sources, choose the form appearing in the prominent source.

> *verso of t.p.*: R.J. Gottschall
> *page 239*: Robert J. Gottschall
> *heading*: 100 1# $a Gottschall, R. J. $q (Robert J.)

3) In all situations not covered by 1) or 2) above, choose the fullest form of name.

> *verso of t.p.*: Victoria Galofre Neuto
> *page 1 of cover*: Victoria Galofre
> *heading*: 100 1# $a Galofre Neuto, Victoria

Note: Do not choose for the heading a form appearing in the following sources if the name appears prominently elsewhere in the item: 1) the copyright statement; 2) the colophon for items published in the countries of the former Soviet Union.

22.3B1. Persons using more than one language.

For an author who writes in two or more languages, the rule includes an "in case of doubt" provision, when there is no predominant language, that sends the cataloger to reference sources of the person's country of residence or activity. If there are no such reference sources, the person is not listed, or for any other reason reference sources do not settle the matter, use in the heading the form of name in the person's native language.

After an author has been established, if subsequently received works show a form in a language not selected for the heading, change the heading when 80% of the author's works are in that language.

22.3C. Names written in a nonroman script.

Applicability

Persons who bear names derived from a nonroman script but who write in a roman-alphabet language should not be treated under this rule. The decision that the person is writing in a roman-alphabet language is based on the first item cataloged, i.e., the fact that the text of this item was originally written in a roman-alphabet language. (If it becomes evident later that most of the person's works were written in a nonroman script, apply the provisions of this rule interpretation.)

Alternative Rule

Apply the alternative rule found in footnote 4 to rule 22.3C2.

If a person entered under a given name or a surname is likely to appear in general English-language reference sources, search *Academic American Encyclopedia*,[1] *The Encyclopedia Americana*, and *Encyclopaedia Britannica* (15th ed.). If the name is found in all three of these sources in a single form, use the form found there. If the form varies in these three sources, use the form found in *Encyclopaedia Britannica* (15th ed.). If the name is not found in all three of these sources, use the systematically romanized form of the name in the heading. *Exception*: For famous persons entered under given name but not found in all three of the general English-language encyclopedias because of specialized fame, consult *major* specialized encyclopedias (e.g., *New Catholic Encyclopedia, The Oxford Classical Dictionary*) to determine if there is a well-established English-language form of the name. ("Found in" the reference source means that there is an article under the person's name.)

For persons of too recent fame to be included in the three general English-language encyclopedias named above (e.g., new authors, dancers, persons recently becoming famous as political figures, Soviet dissidents, chess players), consult the yearbooks of the encyclopedias and the indexes of such major newspapers as *The New York Times* and *The Washington Post* to determine if there is a well-established English-language form of the name.

Names of Persons With Surnames Written in the Cyrillic Alphabet

Note: Headings originally established before January 1981 containing a surname that is spelled the same as that found in the three English-language reference sources (*Collier's Encyclopedia, The Encyclopedia Americana*, and *Encyclopaedia Britannica*, or the form found in *Encyclopaedia Britannica* when the forms varied) were coded "AACR 2" before September 1982 even though the pre-1981 heading varied from the reference sources in one or more of the following elements: the presence or absence of diacritical marks; the presence, absence, or spelling of forenames and patronymics. Continue to use the existing form of the established heading in post-August 1982 cataloging. (Headings coded after

---

[1]In December 1987 *Academic American Encyclopedia* was substituted for *Collier's Encyclopedia* as an English-language reference source. Headings coded for AACR 2 before December 1987 should not be searched routinely in *Academic American Encyclopedia*.

August 1982 will be in accord with current policy.)

> *existing AACR 2-coded heading*: Gogol, Nikolai
>   Vasilevich, 1809-1852
>   (*Do not change to*: Gogol, Nikolay Vasilyevich, 1809-1852)

Names of Persons With Surnames Written in the Hebraic Alphabet

Follow this order of preference when establishing headings for Hebrew and Yiddish persons with surnames:

1) If the name is found in *Academic American Encyclopedia*,[1] and in *The Encyclopedia Americana*, and in *Encyclopaedia Britannica* (15th ed.), use the form found in these three sources; if the form varies in these three sources, use the form found in *Encyclopaedia Britannica* (15th ed.).

2) If the name is found prominently in a romanized form on the person's works in Hebrew or Yiddish, use this form.

3) If the name is found in *The Encyclopaedia Judaica*, use this form.

4) Otherwise, use the systematically romanized form of the name.

(*Note*: 1) If the heading for an author reflects the systematically romanized form and a subsequently received work of the author in Hebrew or Yiddish shows a non-systematically romanized name, generally do not change the heading. This means that only in exceptional cases will systematically romanized names be candidates for change. 2) If the heading for a Hebrew or Yiddish author reflects a non-systematically romanized form and a subsequently received work of the author in Hebrew or Yiddish shows a different non-systematically romanized form, do not change the heading until the different form clearly predominates.)

22.3C2. PERSONS ENTERED UNDER SURNAME. [New]

Systematically Romanized Indic Names

When systematically romanizing headings for Indic personal names containing characters or groups of characters that attempt to reproduce the sound of English initials, romanize these characters with their equivalents from the romanization tables. Refer from a form giving the same romanization of the surname but representing the abbreviated forms by the equivalent English initials whose sound they attempt to reproduce.

```
100 1# $a Kuppucāmi, Pi. Ār.
400 1# $a Kuppucāmi, P. R.

100 1# $a Muttucāmi, Es.
400 1# $a Muttucāmi, S.

100 1# $a Sirisōma, Em̐. Ec.
400 1# $a Sirisōma, M. H.

100 1# $a Kumārannāyar, Ke.
400 1# $a Kumārannāyar, K.

100 1# $a Rāmamūrtti, Vi.
400 1# $a Rāmamūrtti, V.

100 1# $a Gōpālācārya, E. Vi.
400 1# $a Gōpālācārya, A. V.

100 1# $a Ālī, Ema. Ema.
400 1# $a Ālī, M. M.
```

22.3D. Spelling.

For names of persons living in countries where orthographic reform has taken place (e.g., Indonesia, the Netherlands, Portugal, Soviet Union), if the first item received gives the person's name in the old orthography, establish the name in that form. Make one reference from the form in the new orthography but only if the primary elements of the name are affected (cf. LCRI 26.2).

> *heading in old orthography*: Sembiring, Djaja
> *name in new orthography*: Jaja Sembiring
> *reference*: Sembiring, Jaja
>
> *heading in old orthography*: Garrett, João de Mello
> *name in new orthography*: João de Melo Garrett
> *reference*: none

When, subsequently, the first item with the name in the new orthography is received, change the heading to reflect the new orthography. Make a reference from the earlier form without regard to the primary elements of the name.

If the person's works issued during his or her lifetime are all in the old orthography and posthumous publications begin to show the new orthography, delay changing the heading until 80% of the file agrees with the change to the new orthography. Make a reference from the later form without regard to the primary elements of the name.

22.4. GENERAL RULE.

Initial Articles[1]

      If the language is not Arabic, Hebrew, Yiddish, or Urdu, retain initial articles at the beginning of the entry element.

      When an Arabic, Hebrew, Yiddish, or Urdu name is being established in systematic romanization, delete the initial article that would otherwise be the entry element. (Do not delete other articles in the name, e.g., an article that precedes the forename in a surname-comma-forename heading.)

      When an Arabic, Hebrew, Yiddish, or Urdu name is being established in "found" romanization, also delete the initial article unless the expression of the name in the chief source capitalizes the initial article. In the latter case, retain the article as the entry element (regardless of whether or not a hyphen appears connecting the article with the name following). If the typography of the chief source is ambiguous, as when the name is presented in all capital letters, look for other statements of the name in the item and follow predominant usage.

---

[1]*For Library of Congress descriptive catalogers only*: see DCM D25.

22.5A. General rule.

Filipino Names

Establish the names of Filipino authors writing chiefly in Spanish according to the rules for Spanish names.

Establish the names of modern Filipino authors writing in English or in one of the indigenous languages (e.g., Tagalog, Ilocano) according to the following guidelines:

Modern Filipino names usually contain one or more forenames and the paternal surname. Sometimes the maternal surname is inserted preceding the paternal surname as a kind of middle name. Enter these under the second surname, i.e., the paternal surname.

<div align="center">

Pil, Teresita Veloso
x Veloso Pil, Teresita

</div>

The names of many Filipino women give the paternal surname, also as a kind of middle name, followed by the husband's surname the two being linked by a hyphen. Although the hyphen causes the combination of surnames to look like a compound surname, Philippine sources consistently list these women under the husband's surname. Enter these also under the second surname, i.e., the husband's surname.

<div align="center">

Leuterio, Mercedes Mabbun-
x Mabbun-Leuterio, Mercedes

</div>

There are some cases of Filipinos bearing compound surnames that should be entered under the first surname element. The most easily recognized category of these is represented by names including two surnames linked by the conjunctions "y" or "e."

<div align="center">

Paredes y Babila, Quintin
x Babila, Quintin Paredes y

Sevilla ni Alvero, Rosa L.
x Alvero, Rosa L. Seville ni

Alvero at Sevilla, Aurelio
x Sevilla, Aurelio Alvero at

</div>

In all cases refer from the surname that is not the entry element.

If the surname chosen for the entry includes a prefix (e.g., De, De la, Del), enter under the prefix. Refer from the element(s) following the prefix.

<div align="center">

De Castro, Arturo
x Castro, Arturo de

</div>

Note: Although many modern Filipino names are of Spanish origin, do not add Spanish diacritical marks unless they are used by the person.

22.5C2. PREFERRED OR ESTABLISHED FORM KNOWN.

Spanish

If a Spanish-language author abbreviates the first of the two surnames (the normal entry element), consider that this is an indication of the person's preference.

> *name used*: Luis G. de Valdeavellano
> *full name*: Luis García de Valdeavellano
> *heading*: 100 1# $a Valdeavellano, Luis G. de $q (Luis
>   García)

Hungarian

If a Hungarian name consists of two surnames and the first surname is represented by an initial or an abbreviation, enter the name under the second surname. Make a reference from the first surname.

> *name*: B. Kovács László
> *heading*: 100 1# $a Kovács, László B.
> *reference*: 400 1# $a B. Kovács, László

Note: Change existing headings established before November 2000 not in accord with this policy when the headings are needed in current cataloging.

22.5C4.   **Other compound surnames, except those of married women whose surname consists of surname before marriage and husband's surname** .

If a name consists solely of two surname elements, or of two surname elements and a word or phrase associated with the name, and the name is entered under the last element (e.g., Portuguese names), treat the other element as a forename. In this case, do not include in the heading a word or phrase associated with the name (unless 22.19B applies).

<div align="center">

name used: Doctor Flores da Cunha
heading: **Cunha, Flores da**
not   Cunha, Flores da, Doctor

</div>

22.5C5.   OTHER COMPOUND SURNAMES. MARRIED WOMEN WHOSE SURNAME CONSISTS OF SURNAME BEFORE MARRIAGE AND HUSBAND'S SURNAME. [NEW]

Apply the following for Hungarian married women with compound surnames containing her husband's surname and her surname before marriage:

1) If the first name in a compound surname represents the full form of her husband's surname with the suffix *né*, enter the name under the first surname, Make a reference from the second surname.

> *name*: Semetkayné Schwanda Magda
> *heading*: 100 1# $a Semetkayné Schwanda, Magda
> *reference*: 400 1# $a Schwanda, Magda Semetkayné

2) If the first name in the compound surname represents an initial or an abbreviation for her husband's name, enter the name under the second surname. Make a reference from the first surname.

> *name*: Sz. Szentpál Mária
> *heading*: 100 1# $a Szentpál, Mária Sz.
> *reference*: 400 1# $a Sz. Szentpál, Mária

Note: Change existing headings established before November 2000 not in accord with these policies when the headings are needed in current cataloging.

22.5D. SURNAMES WITH SEPARATELY WRITTEN PREFIXES.

Objective

The objective of this rule interpretation is to provide guidelines for the treatment of prefixes/particles (articles and prepositions) in certain names. Once a name and the appropriate references have been determined according to the appropriate rules, use the following guidelines in formulating the constituent parts of the name heading and references.

Guidelines

1) *General*. Apply these guidelines, as appropriate, to

   a) the heading and to references in a name authority record;

   b) a main or added entry (including subject) in a MARC bibliographic record.

In the examples used in the guidelines, only the germane references have been shown.

2) *Prefix/particle immediately following the entry element*. If the entry element of a name is followed directly by a prefix/particle without intervening data (e.g., forename(s), name(s) serving the function of a forename as in the case of certain Portuguese names, forename initial(s)), separate the prefix/particle from the entry element by a comma and place the prefix/particle, etc., in the MARC record as part of the $c subfield, the subfield for words and phrases associated with the name. The purpose of this practice is to provide consistent treatment in setting off the entry element of such names for reasons of searching and sorting, i.e., to prevent prefixes/particles from being treated as forenames.

```
               100 1# $a Walle-Lissnijder, $c van de
               400 1# $a Lissnijder, $c van de Walle
               400 1# $a Van de Walle-Lissnijder
               400 1# $a Walle-Lissnijder, Edm. van de

               100 1# $a De Sanctis
               400 1# #a Sanctis, $c De

               100 1# $a Cordemoy, Géraud de, $d d. 1684
               400 0# $a Fourneillis, $c des, $d d. 1684

               100 1# $a Diego O., Carlos A. de
               400 1# $a Diego, $c de

         but   100 1# $a De la Mare, Walter, $d 1873-1956
               400 1# $a La Mare, Walter de, $d 1873-1956
               400 1# $a Mare, Walter de la, $d 1873-1956
```

```
100 1# $a Von Furstenberg, George M., $d 1941-
400 1# $a Furstenberg, George M. von, $d 1941-

100 1# $a Cunha, José Antônio Flores da
400 1# $a Cunha, Flores da
400 1# $a Da Cunha, José Antônio Flores
```

3) *Prefixes/particles in names lacking forenames but containing words or phrases associated with the name.* Formulate such name headings or references with the prefixes/particles following any words or phrases associated with the name.

```
100 1# $a Winter, $c Doctor de
```
         (*Do not make the reference* Winter, de, Doctor)

```
100 1# $a L'Epée, Charles-Michel de, $d 1712-1789
400 1# $a L'Epée, $c abbé de $q (Charles-Michel), $d
        1712-1789

100 1# $a La Fayette, $c Madame de $q (Marie-Madelaine
        Pioche de La Vergne), $d 1634-1693
400 1# $a LaFayette, $c Madame de $q (Marie-Madelaine
        Pioche de La Vergne), $d 1634-1693
400 1# $a Fayette, $c Madame de La $q (Marie-Madelaine
        Pioche de La Vergne), $d 1634-1693
400 1# $a De La Fayette, $c Madame $q (Marie-Madelaine
        Pioche de La Vergne), $d 1634-1693
```
         (*Do not make the reference* La Fayette, de, Madame (Marie-Madelaine Pioche de La Vergne), 1634-1693 *or* Fayette, de La, Madame (Marie-Madelaine Pioche de La Vergne), 1634-1693)

If such names include qualifications, formulate the data constituting the heading or references according to the pattern: entry element of the heading or reference, words or phrases associated with the name ($c subfield), prefix/particle, qualifier, date.

```
100 1# $a Lettow-Vorbeck, $c General von $q (Paul Emil),
        $d 1870-1964
400 1# $a Vorbeck, Lettow, $c General von $q (Paul Emil),
        $d 1870-1964
400 1# $a Lettow-Vorbeck, $c Colonel von $q (Paul Emil),
        $d 1870-1964
400 1# $a Von Lettow-Vorbeck, $c General $q (Paul Emil),
        $d 1870-1964
```

```
100 1# $a Gatti de Gamond, $c Madame $q (Zoé Charlotte),
        $d 1812-1854
400 1# $a De Gamond, Gatti, $c Madame $q (Zoé Charlotte),
        $d 1812-1854
400 1# $a Gamond, Gatti de, $c Madame $q (Zoé Charlotte),
        $d 1812-1854


100 1# $a Sigaud de La Fond, $c M. $q (Joseph Aignan),
        $d 1730-1810
400 1# $a De La Fond, Sigaud, $c M. $q (Joseph Aignan),
        $d 1730-1810
400 1# $a La Fond, Sigaud de, $c M. $q (Joseph Aignan),
        $d 1730-1810
400 1# $a Fond, Sigaud de La, $c M. $q (Joseph Aignan),
        $d 1730-1810
```

22.5D1. Articles and prepositions.

When the first work of a Dutch author is in English, nonetheless, treat him/her under the "Dutch" provisions of the rule.

22.6. ENTRY UNDER TITLE OF NOBILITY.

Note that the application of the basic provisions of this rule often results in a form of name for a person of nobility that is not the form most commonly found in the chief sources of information of that person's works. The first and second sentences of the rule apply the basic provisions of 22.1A-B to nobility. Therefore, the Duke of Wellington whose personal name was Arthur Wellesley is entered under the proper name of the title, i.e., "Wellington." The third sentence gives instruction for formulating the name: follow the proper name in the title by the person's personal name in direct order and follow the personal name by the term of rank. Application of this rule to the Duke of Wellington results in the heading "Wellington, Arthur Wellesley, Duke of" despite the fact that "Duke of Wellington" is the form of name by which he is commonly known under the provisions of 22.1A-B.

Apply 22.6 to persons of nobility who are known primarily as authors and who use on their works only a term of rank and their title without forenames.

> *name used*: marquis de La Franquerie
> *heading*: **La Franquerie, André**, marquis de
> *not*   La Franquerie, marquis de (André)

Apply the directive "excluding unused forenames" as follows: If the person of nobility is known primarily as an author, use in the heading the forenames most commonly found in the chief sources of information of the person's works. If no forenames are found in the chief sources or if the person is not primarily known as an author, consult reference sources. If reference sources vary, use the least number of forenames commonly found.

If the person known primarily as an author is entered under his or her title of nobility and the statement of responsibility on the author's works consists of the person's term of rank and title without forenames, make a reference from the title and term. (Do not apply the technique specified in LCRI 22.18A of adding other names in parentheses after the title in the reference.)

> **Byron, George Gordon Byron**, Baron, 1788-1824
> *x* Byron,⊦Lord, 1788-1824

22.8. ENTRY UNDER GIVEN NAME, ETC.

Generally, Ethiopian, Somalian, and Congolese personal names do not include a surname. |
Therefore, enter these names under the first element of the name. Refer from the last element and also from
the next to last element whenever the name contains more than two elements.

```
100 0ʄ ǂa Shifarraw Bizuneh                        |
400 1ʄ ǂa Bizuneh, Shifarraw                       |
                                                   |
100 0ʄ ǂa Maxamed Siyaad Barre, ǂd 1920-           |
400 1ʄ ǂa Barre, Maxamed Siyaad, ǂd 1920-          |
400 1ʄ ǂa Siyaad Barre, Maxamed, ǂd 1920-          |
                                                   |
100 0ʄ ǂa Mobutu Sese Seko, ǂd 1930-               |
400 1ʄ ǂa Seko, Mobutu Sese, ǂd 1930-              |
400 1ʄ ǂa Sese Seko, Mobutu, ǂd 1930-              |
```

22.8A1. ENTRY UNDER GIVEN NAME, ETC.

If the name chosen for the heading is based on a form found in non-English sources (cf. 22.3B, 22.3C1) and the name found in these sources includes "words or phrases denoting place of origin, domicile, occupation, or other characteristic that are commonly associated with the name," use in the heading the forms for these words and phrases that are found in the sources used.

> *source*: Shemuẹel Duber mi-Barisov
> *heading*: 100 0♭ ‡aShemuẹel Duber, ‡c mi-Barisov
> *not*   100 0♭ ‡aShemuẹel Duber, ‡c of Barisov

If words and phrases denoting place, occupation, etc., appear only in complex statements that contain other elements, generally do not treat them as being "commonly associated" with the name. However, if the exclusion of such words and phrases results in a heading that conflicts, they may be added to the heading as a parenthetical qualifier (22.19A). (If added, use English forms whenever possible.)

Generally, this rule requires a comma between the name and an associated phrase. Note, however, that in languages **other than English** there are examples of a single name that cannot be broken down into the components "name" and "phrase." Do not punctuate these with a comma. (However, make a reference from the form using a comma.) Several examples are furnished by the headings for Carmelites and certain other religious who formerly took a name in religion that combined a forename with the name of a saint, of a dogma, or of some event in the life of Jesus or Mary.

> 100 0♭ ‡a Marie de l'Incarnation
> 400 0♭ ‡a Marie, ‡c de l'Incarnation
>
> 100 0♭ ‡a Elisabeth de la Trinité
> 400 0♭ ‡a Elisabeth, ‡c de la Trinité
>
> 100 0♭ ‡a Marie de Saint Bernard
> 400 0♭ ‡a Marie, ‡c de Saint Bernard
>
> *but*   100 0♭ ‡a John, ‡c of the Cross
> 400 0♭ ‡a John of the Cross

22.8A2.

If a person is most commonly known only by given names and the name is entered under an element other than the first, treat the name as a surname when determining which additions are appropriate for inclusion in the heading.

22.10. ENTRY UNDER INITIALS, LETTERS, OR NUMERALS.

Names Consisting of Initials/Letters

If a name consists entirely of initials, make a reference from the inverted form alone (not a name-title reference), beginning with the last initial. If the heading contains as a parenthetical addition the full form of the name for which the initials stand (cf. 22.18A), add the parenthetical addition in the reference as well. (Do not invert the name used in the addition.)

Note that for names consisting entirely of initials or entirely of separate letters that are presumed not to be initials, a single space is left between the initials/letters in all cases (cf. LCRI 22.1B).

> **H. D.** (**Hilda Doolittle**), 1886-196l
> **D. S.**, *Master*
> **i. e.,** *Master*
> **X Y Z**

For purposes of filing and machine searching in LC, initials/letters separated by a space, a period, or a combination of a period-space are treated as a series of words; letters not separated by a period or a space or a combination of a period-space are treated as a single word. Therefore, for names consisting entirely of initials or entirely of separate letters, make, in addition to other references, one from the "closed up" form, i.e., the form without periods or spaces.

> **H. D.** (**Hilda Doolittle**), 1886-1961
>   *x* HD (Hilda Doolittle), 1886-1961
>
> **i. e.,** *Master*
>   *x* ie, Master
>
> **X Y Z**
>   *x* XYZ

For references in a form other than the "closed up" form, use periods or not, depending on whether they are used in the heading.

> **H. D.** (**Hilda Doolittle**), 1886-1981
>   *x* D., H. (Hilda Doolittle), 1886-1961
>
> **X Y Z**
>   *x* Z, X Y

22.11D.

Headings referred to in the rule apply only to persons whose names are unknown (cf. 21.5C), not to persons whose names are known (cf. 21.4A).

22.13B.

Determine the uniqueness of the name of a saint from a reference source (e.g., Holweck's *A Biographical Dictionary of the Saints*). If the name is not unique, add a "suitable word or phrase" to the heading even if the dates are available.

22.14. SPIRITS.

If the spirit is supposed to be that of a real person, establish the heading for the person (unless he or she is already established) and add the word "(Spirit)" to the complete heading for the person.

> **Parker, Theodore**, 1810-1860 (Spirit)
> **Beethoven, Ludwig van**, 1770-1827 (Spirit)

22.15A.

Applicability

If the person uses only his or her surname or only a term of address, etc., and a surname, establish the surname without forename(s) as the heading. (However, see 22.6 for persons of nobility who do not use a forename.)

> *name used*: D'Ambrosio
>   (*His forenames, Joseph J., are known*)
> *heading*: **D'Ambrosio**

See LCRI 22.5D for guidelines for the treatment of prefixes/particles (articles and prepositions) in such headings and associated cross references.

Cross References

Rule 22.15A, covering names consisting only of a surname plus an associated word or phrase, actually includes two quite distinct types of name:

1) Names established because of a regular practice of using only the surname with a term of address in statements of responsibility on the chief source. This was a normal practice in the 18th and early 19th centuries and is an infrequent, although not unusual, practice today in some languages (e.g., abbé Deidier).

2) "Phrase" headings consisting of a surname and an associated word or phrase. Most such headings are pseudonyms or assumed names (e.g., Dr. Seuss, Miss Read, Grandma Moses).

Generally make a cross reference from the direct form only for names in the second category.

22.15B. TERMS OF ADDRESS OF MARRIED WOMEN.

     Amendments 2001 to AACR2 revised rule 22.15B1 to add the term of address of a married woman after the last element of the husband's name. Previously, the term was added before the husband's forename(s).

     LC practice: Beginning January 1, 1981, LC has added the term of address after the last element of the husband's name. (*Note:* For the period, January 1, 1981-August 31, 1982, LC coded such headings "AACR2 compatible." Beginning September 1, 1982, the headings have been coded "AACR2." Existing headings coded "AACR2 compatible" should be not recoded unless the heading needs to be revised for another reason.)

22.16C. Bishops, etc.

Saints

For bishops, etc., who are also saints (22.13), apply the following:

1) Add only "Saint" if there is no other saint with the same name.

2) Add both "Saint" and "Bishop," etc., if there is more than one saint with this name.

22.16D. Other persons of religious vocation.

Add a title, term of address, etc., to persons of religious vocation entered under given name, etc., only if the title, term of address, etc., appears with the name in the chief sources of information in items by the person or in reference sources if the person is not an author.

Ignore Japanese titles of priests unless they are fixed as an integrated part of the name.

22.17. DATES

Headings That Do Not Conflict

Apply the optional provision. This means adding a date whenever it is known.

Twentieth Century Persons

For persons living in the twentieth century, the date upon which the heading is based should be a precise one. Specifically, add the date to headings for these persons only if it falls into any of the following categories:

1) The person is still living and the year of birth is known ("1900- ").

2) The person is no longer living and the years of birth and death are known ("1900-1981").

3) The person is no longer living and only the year of birth is known ("b. 1900").

4) The person is no longer living and only the date of death is known ("d. 1981").

Note: If a date is a specific non-Gregorian year, add the Gregorian equivalent to the heading even if this means using a date in the form "1921 or 2."

Pre-Twentieth Century Persons

For pre-twentieth century persons, less precise dates may be used. Consult the examples under 22.17A for guidance. Note one detail about the use of "flourished" dates: "Flourished" dates acceptable for addition to headings for pre-twentieth century persons normally express a span of years of activity. A single year "fl." may be used only in exceptional cases, as when a reference source itself designates the date in this way or there is one publication or other event in the person's life known to be the single or at least primary basis for a single year.

Existing Headings Already Coded for AACR2

Do not add the date (birth or death) to an existing heading represented by a name authority record | that has already been coded "AACR2" or "AACR2 compatible" (including in either case those labeled "preliminary") 008 byte 33 = d). However, if such a heading must be revised later, add the date(s).

Existing Headings Being Coded for AACR2

Do not add the date (birth or death) to a heading being coded for AACR2 when the heading is | represented by an access point on an existing bibliographic record in the catalog (i.e., the file against which the cataloging and searching is done) and is otherwise in accord with current policy. However, if the person is no longer living and the existing heading contains a date, change the date if it is obsolete in either form or fact. For example, if the existing heading has an open birth date such as "1861- ," either add the death date (if available) or change the open birth date to "b. 1861," or, if the existing heading has an

approximate date and the exact date is now available, use the exact date in the AACR2 heading.

Abbreviations B.C. and A.D.

Use the abbreviation B.C. for dates in the pre-Christian era. Place the abbreviation at the end of a date or span of dates in that era.

> **Nefertiti**, Queen of Egypt, 14th cent. B.C.
> **Spartacus**, d. 71 B.C.
> **Pericles**, 499-429 B.C.
> **Aj~taÑatru**, King of Magadha, ca. 494-ca. 467 B.C.

Use the abbreviation A.D. only when the dates span both eras.

> **Augustus**, Emperor of Rome, 63 B.C.-14 A.D.
> **Ovid**, 43 B.C.-17 or 18 A.D.
> **Seneca, Lucius Annaeus**, ca. 4 B.C.-65 A.D.

If a date is questionable, place the question mark immediately following the date.

> **Antonius Marcus**, 83?-30 B.C.
> **Vercingetorix**, Chief of the Arverni, d. 45? B.C.

22.17-22.20. *Additions to Distinguish Identical Names*.

If a personal name heading conflicts with another heading, resolve the conflict as follows, in this order of preference:

1) Add to the heading being established

a) the full form of a name represented by an initial or abbreviation in the form chosen for the heading if the full form is available in the item being cataloged (22.18);

> *established heading*: **Jackson, A.**
> *new author*: A. Jackson
> > (*New author's full name, Arnold Elrod Jackson, is available*)
> *heading for new author*: **Jackson, A. (Arnold)**

b) the date (22.17) other than a "flourished" or "century" date; do not go beyond making a routine telephone call to a place within the continental U.S. or searching the catalogers' reference collection to determine the date;

> *established heading*: **Brue, James E.**
> *new author*: James E. Brue
> > (*New author's birth date, 1942, is available*)
> *heading for new author*: **Brue, James E.**, 1942-

Note: If both the full form represented by an initial and a date are available, add both.

c) a term of address, etc., that appears with the name in a prominent source (cf. 0.8) in items by the person or with the name in headings in reference sources (22.19B). (For pre-20th century persons, see LCRI 22.19);

> *established heading*: **Brown, George**
> *new author*: George Brown
> > (*New author's statement of responsibility: by the Rev. George Brown*)
> *heading for new author*: **Brown, George**, Rev.

> *established heading*: Webb, William
> *new author*: William Webb
> > (*New author's statement of responsibility: by William Webb of Virginia*)
> *heading for new author*: **Webb, William**, of Virginia

Note: If either the full form of the name represented in the heading by an initial or a date becomes available later (or both become available), do not change the existing heading just to replace the term of address, etc.

      d) a forename or surname or the initials of a forename or surname not represented by an initial in the form of name chosen for the heading;

> *established heading*: **Clapper, John**
> *new author*: John Clapper
>   (*New author's full name, John Samuel Clapper, is available*)
> *heading for new author*: **Clapper, John (John Samuel)**

> *established heading*: **Gelfund, David**
> *new author*: David Gelfund
>   (*New author's full name, David A. Gelfund, is available*)
> *heading for new author*: **Gelfund, David (David A.)**

> *established heading*: **Smith, Elizabeth**
> *new author*: Elizabeth Smith
>   (*New author's full name, Ann Elizabeth Smith, is available*)
> *heading for new author*: **Smith, Elizabeth (Ann Elizabeth)**

> *established heading*: **Oliver, Joan**
> *new author*: Joan Oliver
>   (*New author's full name, Joan Oliver i Puigdomènech, is available*)
> *heading for new author*: **Oliver, Joan (Oliver i Puigdomènech)**

> *established heading*: **Jones**, Mrs.
> *new author*: Mrs. Jones
>   (*New author's forenames, Ella Gertrude, are available*)
> *heading for new author*: **Jones**, Mrs. (Ella Gertrude)

    Note: If the full form of a name represented in the heading by an initial or a date or a term of address, etc., becomes available later, do not change the existing heading just to replace the unused forename or unused surname.

      e) a full forename when the forename chosen for the heading is a nickname;

> *established heading*: **Jorgen, Dick**
> *new author*: Dick Jorgen
>   (*New author's full name, Richard Clark Jorgen, is available*)
> *heading for new author*: **Jorgen, Dick (Richard Clark)**

    Note: If the full form of name represented in the heading by an initial or a date or a term of address, etc., becomes available, do not change the existing heading just to replace the unused full forename.

      f) a "flourished" date (22.17);

Note: 1) Do not add "flourished" dates to headings for persons living in the twentieth century even if the heading conflicts. 2) "Flourished" dates acceptable for addition to headings normally express a span of years of activity. A single year after "fl." may be used only in exceptional cases, as when a reference source itself designates the date in this way or there is one publication or other event in the person's life known to be the single or at least primary basis for a single year.

        g) a century date (22.17).

Note: Do not add a "century" date to persons living in the twentieth century even if the heading conflicts.

    2) Change the established heading according to the order of preference given in 1) above.

    3) Apply 22.20.

Note: If the full form of a name represented by an initial in the heading or a date or a term of address, etc., becomes available later for one of these names, establish this name separately. (Do not establish one of these names separately if only an unused forename or unused forename initial or unused surname or unused full forename becomes available later.)

22.18A.

For names that conflict, see 22.18-22.20.

For references, apply the provisions of LCRI 26.

Apply the optional provision. This means adding within parentheses the full form of an initial or abbreviation used in the heading when the full form is known with certainty. (In some cases of doubt, do not add the full form.) Do not search solely to discover this information if there is no conflict.

When adding the full form, observe the following guidelines:

1) If the initial occurs in the forename portion of the surname-forename heading, give in the parenthetical addition not only the full form but also the other forenames that appear in the forename portion of the heading. However, do not include a particle or prefix that appears in the forename portion. Place the parenthetical addition directly after the forename portion and before any other addition (e.g., date, title).

> **Flam, F. A. (Floyd A.)**
>
> **Smith, T. B. (T. Basil)**
>
> **Wright, G. H. von (George Henrik)**, 1916-
>
> **Beruete y Moret, A. de (Aureliano)**, 1876-l922
>
> **Jaina, Pra. (Pr-kaña)**
> ("Pra." is the systematically romanized form of a single nonroman *initial*)
>
> **Smith, Arthur D. (Arthur Dwight)**, 1907-
>
> **Bvindi, Francis A. A. L. (Francis A. A. Lovemore)**, 1955-

2) If the initial occurs in the name entered as a given name, etc., give in the parenthetical addition all the names that appear in the heading. Place the parenthetical addition directly after the given name and before any other addition (e.g., date, title).

> **A. Samad Said (Abdul Samad Said)**, 1935-
>
> **M. Alicia (Mary Alicia)**, Sister, S.C.N.

3) For names that are represented in the heading by an abbreviation rather than an initial (cf. LCRI 22.1B), give in the parenthetical addition the full name for the particular person.

> **Brownridge, Wm. (William)**
> **Fdez.-Rivera García, Manuel (Fernández-Rivera García)**

Exceptions

1) Do not apply 22.18A to a name in which the letters of the forename initials used in the heading differ from the letters used in the full forename.

> **Reddi, Vai. Si. Vi.**, 1926-
> *not*   Reddi, Vai. Si. Vi. (Emmanuru Cinna Venkata), 1926-
>
> **Jaina, Pi.**
> *not*   Jaina, Pi. (Pr~kaÑa)
>
> **Ajgaonkar, G. F.**
> *not*   Ajgaonkar, G. F. (Gundu Phatu)

2) Do not apply 22.18A to a heading for a married woman that consists of her husband's surname and initial(s).

> **Renfro, Roy E.**, Mrs.
>   *x* Renfro, Helen Kay
> *not*   Renfro, Roy E. (Roy Edward), Mrs.

3) Do not add the fuller form to an existing heading falling into either of the following categories:

a) The name authority record for it has already been coded "AACR 2" or "AACR 2 compatible" (including in either case those labeled "preliminary"÷008 byte 33 = d).

b) The heading is represented by an access point on an existing bibliographic record in the catalog (i.e., the file against which the cataloging and searching is done) and is otherwise in accord with current policy.

> *heading*: **Eddison, C. D.**
> *new information*: "C. D." stands for "Carlton Daniel"
>   (*Do not change the heading to*: Eddison, C. D. (Carlton Daniel))
>
> *heading*: **Jáuregui C., Juan Heriberto**
> *new information*: "C." stands for "Cordero"
>   (*Do not change the heading to*: Jáuregui C., Juan Heriberto (Jáuregui Cordero))

However, if such a heading must be revised later, add the fuller form.

22.19. DISTINGUISHING TERMS.

Term of Address, etc., for Pre-20th Century Persons

For persons who lived before, or primarily before, 1901 and whose headings conflict, in the absence of firm dates resolve the conflict with one of the following additions:

1) a term of address
2) a descriptive phrase
3) "flourished" date(s) (cf. LCRI 22.17-22.20)
4) "century" date(s) (cf. LCRI 22.17-22.20)

Descriptive phrases may include titles of position or office, initials of an academic degree, and initials denoting membership in an organization, as well as more general phrases describing the person.

In general, prefer terms of address over descriptive phrases, descriptive phrases over "flourished" date(s), "flourished" date(s) over "century" date(s). (*BL practice*: The British Library will generally use "flourished" or "century" dates in preference to terms of address; do not change such headings to conform to LC practice.) Also, prefer terms of address and descriptive phrases appearing with the name on the chief source of information of the item being cataloged over terms of address and descriptive phrases found elsewhere in the item, and prefer terms of address and descriptive phrases found in the item over those found in reference sources.

When a descriptive phrase is long or complex and would result in an awkward addition to the heading, prefer the "flourished" or "century" date(s).

In general, when choosing terms of address or descriptive phrases to resolve conflicts, use the one that provides the most specific and distinctive identification of the person.

Make the additions to names in which the entry element is a given name, etc. (22.19A), or a surname (22.19B).

When making the addition to a given name, etc., add the term of address or descriptive phrase within parentheses. When making the addition to a surname, use a comma to separate the name and the term of address or descriptive phrase.

> *t.p.*: a merchant of York
> *signed on p. 7*: T.H.
> *heading*: 100 0b̸ ‡a T. H. ‡c (Merchant of York)
>
> *t.p.*: T.L., a person of quality
> *heading*: 100 0b̸ ‡a T. L. ‡c (Person of quality)
>
>
> *t.p.*: Will Dyer

> *on p. 12*: wool merchant
> *heading*: 100 1b̸ ǂa Dyer, Will, ǂc wool merchant
>
> *t.p.*: William Jones
> *British Library General Catalogue of Printed Books to 1975*: Jones
>   (William) of Gloucester
> *heading*: 100 1b̸ ǂa Jones, William, ǂc of Gloucester
>
> *t.p.*: Jean Wallace, eldest daughter of the said Alexander
>   Wallace
> *heading*: 100 1b̸ ǂa Wallace, Jean, ǂd 18th cent.
>   *not*   100 0b̸ ǂa Wallace, Jean, ǂc eldest daughter of
>   the said Alexander Wallace

Musicians

When no other means is available for distinguishing between a musician and another person with the same name for whom a heading is already established (including changing the existing heading), a word designating a musician's occupation, such as "violinist," "keyboard player," or "soprano," may be used as a qualifier. The term used should be in English and in the form of an agent noun, e.g., "oboist" for one listed as playing the oboe.

Change a currently undifferentiated heading to one with such a qualifier when it is being used on a new bibliographic record. If a qualifier later appears to give a seriously inaccurate characterization of the musician, change the heading by 1) the addition of a date, 2) the addition of a fuller form of name, or 3) changing the qualifier.

Biblical Figures

When the heading for a mortal mentioned in the Bible conflicts, and the conflict cannot be resolved by the addition of another qualifier (e.g., 22.8A1, 22.13A), add in parentheses the term "Biblical" plus the designation of the major Biblical category that fits the person (e.g., "(Biblical prophet)," "(Biblical patriarch)"). If the person does not fit one of the major Biblical categories, use "(Biblical figure)."

22.22. NAMES IN THE ARABIC ALPHABET.

For Arabic personal names covered by 22.22A, determine the elements that belong to the name from the universe of reference sources (22.22, footnote 20). Apply 22.22B-D to determine which of these elements of the name belong to the heading and the order of elements. Transcribe the elements in their systematically romanized form if the Arabic script form of the name is known. *Exception*: If the person is likely to appear in general English-language reference sources, apply LCRI 22.3C.

22.25B1.

Choosing the Entry Element for North Indian Names

The guidelines below apply to North Indian names, for whom the last sentence of rule 22.25B1 says "if there is no surname, enter under the last name." Apply these guidelines in the order in which they are presented.

1) Consider that the last element is a surname and enter under it if initial(s) and/or title(s) precede the last element. Take into account forms found anywhere in the publication.

> **Kumar, Anil**
>   (*t.p.: Anil Kumar; spine: A. Kumar*)
> **Gopal, Ram**
>   (*t.p.: Ram Gopal; preface signed: R. Gopal*)
> **Rahman, Shamsur**
>   (*t.p.: Shamsur Rahman; cover: S. Rahman*)
> **George, J. (John)**
>   (*t.p.: J. George; t.p. verso: John George*)
> **Rani, Gita**
>   (*t.p.: Gita Rani; spine: G. Rani*)
> **Devi, Yamuna**
>   (*t.p.: Yamuna Devi; preface signed: Y. Devi*)
> **Haq, Abdul**
>   (*t.p.: Abdul Haq; in preface: Dr. Haq*)

2) If the preceding guideline is not applicable, and no other information is available, consider that a surname is absent and enter the name directly when the last element of a woman's name is one of the following:

Amma	Bano, B~nã	Jahan	Rani
Ammal	Begam, Begum	Khatoon, <u>Kh</u>~tãn	Bala
Ara	Bibi	Kumari	
Bai	Debi, Devi	Mahal	

3) If the preceding guidelines are not applicable, consider that the last element is a surname and enter under it in the following cases:

   a) An author who writes in English (or primarily in English).

   b) A non-author appearing in connection with publications in English (or primarily in English).

4) For cases not covered by the preceding guidelines, use cataloger's judgment and expertise in determining the entry element.

5) Retain and continue to use established headings, unless these guidelines call for a clearly different heading. Even then, normally wait until a pattern is seen as substantiating the change.

Modern Indic Names Written Without Separation

When separable elements of a modern name are found written together in the nonroman script, identify the separable elements (names or titles) and search for a source giving them written separately. Record this searching in the 670/675 fields of name authority records, as usual. If the search is not successful and there is certainty about the separate elements, supply these in a bracketed "i.e." statement, following the citation of the name as found in the 670 field.

> *heading*: **Miśr~, Madana**
> *670 field*: His ... : t.p. (Paṇḍitamadanamiśr~ [i.e., Madana
>   Miśr~])
> *675 field*: New cat. cat.; Emeneau

If considered necessary, make a fuller explanation in the 667 field, e.g., Paṇḍita is a title; Miśr~ is a surname.

N.B. 22.25B4, for religious titles, should also be followed when applicable.

22.26C1c).

      When a heading established under this rule ends in an initial, make the reference called for by rule 22.26C, from the next to last element only when the next to last element is a full name.

                          Joko Budi S.
                              x S., Joko Budi
                              x Budi S., Joko